



Legal and Compliance Management

30 Jun - 04 Jul 2024
Online



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Ref.: 15248_244710 **Date:** 30 Jun - 04 Jul 2024 **Location:** Online **Fees:** 1500 **Euro**

Introduction:

Organizations today face a host of risks that can jeopardize their business strategies, status, and eventually, their bottom line. Legal, licensing, and compliance best practices do not only look at preventing problems and confirming that organizations are abiding by the laws. It is also about the positive impact that an ethical legal, licensing, and compliance program can have on a business. In this course, we will discuss why compliance is essential in extremely regulated industries to avert fines and prevent reputational and commercial problems. This course will also study real-world examples of compliance failures and encourage students to develop strategies to avoid similar situations in their own organizations.

This Certificate in Legal and Compliance Management program will introduce the essential elements of effective legal, licensing, and compliance by exploring the concepts, considerations, and strategies for managing the function. The insights from this program will be applicable to a wide range of different types of organizations, from private companies to non-profits.

Targeted Groups:

- Legal personnel.
- Compliance personnel.
- Those who are individually involved in making regulatory decisions.
- Employees who manage or supervise legal, licensing, and compliance teams.
- Employees who have recently got involved in or aim to be given legal, licensing, and compliance-based responsibilities.
- The workforce from Regulatory Authorities or Compliance Committees.
- Any person who wishes to gain an understanding of the vital regulatory legal, licensing, and compliance principles and how businesses can conform to them.

Course Objectives:

At the end of this course the participants will be able to:

- Explain the factors that drive the need for legal, licensing, and compliance laws and understand the consequences of breaching these laws in a highly legalized world.
- Prevent your company from the probable issues faced due to improper legal, licensing, and compliance management.
- Create strategies for implementing legal, licensing, and compliance management policies including specific tools and technologies, and then monitoring and training of these policies to build an effective privacy legal, licensing, and compliance program.
- Create a thorough risk profile for your organization.
- Customize a detailed legal, licensing, and compliance program with features best suited to address your organization's specific risk profile.
- Develop strategies for implementing the technologies, policies, monitoring, and training for building an effective privacy compliance program.
- Describe the factors that drive the need for anti-corruption laws and understand the ramifications of doing business in a highly regulated world.

Targeted Competencies:

- INTRODUCTION TO COMPLIANCE.
- THE IMPORTANCE OF COMPLIANCE.
- COMPLIANCE & RISK.
- DEVELOPMENTS IN THE FIELD OF COMPLIANCE.
- BUILDING A STRONG COMPLIANCE CULTURE.
- THE PSYCHOLOGY OF COMPLIANCE.
- HOW TO GET PEOPLE TO BE COMPLIANT?.
- DEALING WITH NON-COMPLIANCE.
- PRIVACY: HISTORY OF LEGAL ISSUES.
- SECURITY & BREACH NOTIFICATION.
- OTHER WAYS THAT PRIVACY IS REGULATED.

Course Content:

Unit 1: COMPLIANCE & RISK:

- What is the risk?
- Risk mitigation
- Risks vs. Issues
- Relationship between compliance and risk management
- Alternative forms of risk management
- Compliance & risk management
- Risk analysis
- Risk tolerance
- Outsourcing risk & compliance
- Insurance as another vehicle to manage risk
- Compliance is taken more seriously by enforcement agencies
- Institutional compliance vs. compliance in specific subject areas
- The burgeoning profession of compliance

Unit 2: BUILDING A STRONG COMPLIANCE CULTURE:

- Best practices in setting a strong compliance structure
- Setting the stage: origins of compliance law
- The goal of compliance culture: integrating compliance throughout the organisation
- The compliance officer / responsible person
- Independence, empowerment, and resources

Unit 3: THE PSYCHOLOGY OF COMPLIANCE:

- Compliance involves more than you think
- Why people do bad things
- The Psychological Aberration or Deviation Theory
- The Privileged or Entitled Theory
- The Stress and Pressure Theory
- The Excessive Greed or Excessive Ambition Theory
- The Cost-Benefit / Risk Reward Theory
- The Lack of Recognition Theory
- The Lack of Self-Control Theory
- The No Harm Theory

Unit 4: HOW TO GET PEOPLE TO BE COMPLIANT:

- The Nudge Theory
- The Punishment / Scare Them Theory
- The Rules / CYA Theory
- The Ubiquity Theory
- The Reward Me Theory
- The Quid Pro Quo Theory
- The Bureaucratic Theory
- The Slippery Slope / Broken Windows Theory
- The Target Theory
- The “One Size Doesn’t Fit All” Theory

Unit 5: DEALING WITH NON-COMPLIANCE:

- Dealing with non-compliance
- Senior response team
- Reporting and other communication
- Enforcing discipline
- Lessons learned / root cause analysis
- Table-top exercises

Unit 5: PRIVACY: HISTORY OF LEGAL ISSUES:

- Legal and issues landscape and chronology
- Historical & legal context
- Fair information principles
- The statutory landscape in the U.S.

Unit 6: SECURITY & BREACH NOTIFICATION:

- Introduction to security
- Establishing requirements in a rapidly changing environment
- Forcing a process, rather than an outcome
- Breach notification, regulating by consequence
- Compliance observations in information security

Unit 7: OTHER WAYS THAT PRIVACY IS REGULATED:

- Other privacy laws: FTC regulation
- The FTC, privacy and compliance
- International rules and regulations
- The GDPR



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